

Petitioner's Docket No. U 016462-6

IN THE UNITED STATES DESIGNATED OFFICE (DO/US)

INTERNATIONAL APPLICATION NO. PCT/ES2005/000111	INTERNATIONAL FILING DATE 04 MARCH 2005	PRIORITY DATE CLAIMED 05 MARCH 2004
----------------------------------------------------	--------------------------------------------	----------------------------------------

SYSTEM FOR REGULATING THE ACTIVE POWER OF A WIND FARM

TITLE

1. JOSE IGNACIO LLORENTE GONZALEZ, ET AL

APPLICANT FOR DO/US

Mail Stop PCT

Director of the United States Patent and Trademark Office

P. O. Box 1450

Alexandria, VA 22313-1450

**REQUEST FOR REFUND FOR INTERNATIONAL APPLICATION
ENTERING NATIONAL STAGE IN U.S. DESIGNATED OFFICE (DO/US)
UNDER 35 USC 371**

NOTE: 37 C.F.R. § 1.28(a): "(a) Refunds based on later establishment of small entity status. A refund pursuant to § 1.26, based on establishment of small entity status, of a portion of fees timely paid in full prior to establishing status as a small entity may only be obtained if an assertion under § 1.27(c) and a request for a refund of the excess amount are filed within three months of the date of the timely payment of the full fee. The three-month time period is not extendable under § 1.136. Status as a small entity is waived for any fee by the failure to establish the status prior to paying, at the time of paying, or within three months of the date of payment of, the full fee."

I. SUBMISSION OF SMALL ENTITY STATEMENT

(complete (a) or (b))

- (a) ☒ Attached is a Statement or Written Assertion claiming small entity status in this application.
- (b) ☐ A Statement or Written Assertion claiming small entity status was filed in this

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is **mandatory**;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

37 C.F.R. 1.8(a)

- ☒ with sufficient postage as first class mail.

37 C.F.R. 1.10*

- ☐ as "Express Mail Post Office to Address"
Mailing Label No. _____ (mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office. to (571)-273-6500

Date: November 2, 2006

Signature

WILLIAM R. EVANS

(type or print name of person certifying)

application on _____.

II. REFUND REQUEST

NOTE: 37 C.F.R. § 1.28(b)(1): "(b) Date of payment. (1) The three-month period for requesting a refund, pursuant to paragraph (a) of this section, starts on the date that a full fee has been paid. . ."

This request for refund is made within three months of the date a fee was paid in this application on September 12, 2006, in the amount of \$ 900.00

NOTE: The two-month period (§ 1.28(a)) is not extendible under 37 C.F.R. 1.136 because it is not a period for response. Notice of November 30, 1983, 49 FR 548, January 4, 1984.

III. FEES PAID FOR WHICH REFUND REQUESTED

	AMOUNT OF REFUND REQUESTED
<input checked="" type="checkbox"/> Filing fee under 37 CFR 1.492	<u>\$450.00</u>
<input type="checkbox"/> Fees for claims under 37 CFR 1.492(b), (c) or (d)	<u> </u>
<input type="checkbox"/> Surcharge for filing the oath or declaration on a date later than 20 months from the earliest priority date (37 CFR 1.492(e))	<u> </u>
TOTAL REFUND REQUESTED	<u>\$450.00</u>

IV. MANNER OF REFUND

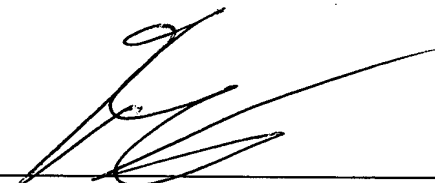
Please make refund by

- ☒ crediting Account No. 12-0425.
☐ refunding overpayment.

Reg. No. 25,858

Tel. No.: (212) 708-1930

Customer No. 00140



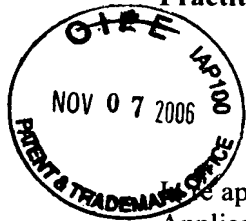
SIGNATURE OF PRACTITIONER

WILLIAM R. EVANS
(type or print name of practitioner)

P.O. Address

c/o Ladas & Parry LLP
26 West 61st Street
New York, N.Y. 10023

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



I am application of: Jose Ignacio LLORENTE GONZALEZ
 Application No.: _____ Group No.: _____
 Filed: _____ Examiner: _____
 For: ACTIVE POWER REGULATING SYSTEM OF A WIND FARM

*Patent No.:

Issue Date:

**NOTE: Insert name(s) of inventor(s) and title also for patent Where statement is with respect to a maintenance fee payment, also insert application number and filing date, and add Box M. Fee to address.*

STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(c-f) and 1.27(b-d))

With respect to the invention described in

- ☒ the specification filed herewith.
☐ application no. _____, filed _____.
☐ patent no. _____ issued _____.

I. IDENTIFICATION AND RIGHTS AS A SMALL ENTITY

I hereby state that I am

(complete either (a), (b), (c) or (d) below)

(a) Independent Inventor

- ☐ a below named independent inventor, and that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office.

(b) Noninventor Supporting a Claim by Another

- ☐ making this statement to support a claim by

for a small entity status for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code. I hereby state that I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, if I had made the above identified invention.

(c) Small Business Concern

check
one →

- ☐ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern GAMESA EOLICA, S.A.

Address of Concern Poligono Industrial los Agustinos, Calle A S/N, ES-31013

Pamplona (Navarra) Spain

_____ and
that the above identified small business concern qualifies as a small business concern, as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

(d) Non-Profit Organization

- ☐ an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization _____

Address of Organization _____

TYPE OF ORGANIZATION

- ☐ University or Other Institution of Higher Education
- ☐ Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3))
- ☐ Nonprofit Scientific or Educational Under Statute of State of the United States of America
(Name of State _____)
(Citation of Statute _____)
- ☐ Would Qualify as Tax Exempt Under Internal Revenue Service Code (26 USC 501(a) and 501(c) (3)), if Located in the United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational Under Statute of State of the United States of America, if Located in the United States of America
(Name of State _____)
(Citation of Statute _____)

and that the nonprofit organization identified above qualifies as a nonprofit organization, as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code.

II. OWNERSHIP OF INVENTION BY DECLARANT

I hereby state that rights under contract or law remain with and/or have been conveyed to the above identified

☐ person
(item (a) or (b) above)

☒ concern
(item (c) above)

☐ organization
(item (d) above)

EXCEPT, that if the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held (1) by any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, (2) any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or (3) a nonprofit organization under 37 CFR 1.9(e).

- ☒ no such person, concern, or organization
☐ person, concerns or organizations listed below*

**NOTE: Separate statements are required from each named person, concern or organization having rights to the invention as to their status as small entities. (37 CFR 1.27)*

Full Name _____
Address _____

- ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Full Name _____
Address _____

- ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

III. ACKNOWLEDGEMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

IV. DECLARATION

(check the following item, if desired)

NOTE: The following verification statement need not be made in accordance with the rules published on October 10, 1997, 62 Fed. Reg. 52131, effective December 1, 1997.

NOTE: "The presentation to the Office (whether by signing, filing, submitting, or later advocating) of any paper by a party, whether a practitioner or non-practitioner, constitutes a certification under § 10.18(b) of this chapter. Violations of § 10.18(b)(2) of this chapter by a party, whether a practitioner or non-practitioner, may result in the imposition of sanctions under § 10.18(c) of this chapter. Any practitioner violating § 10.18(b) may also be subject to disciplinary action. See §§ 10.18(d) and 10.23(c)(15)." 37 CFR 1.4(d)(2).

- ☐ I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

V. SIGNATURES

(complete only (e) or (f) below)

(e)

NOTE: All inventors must sign the statement.

Name of Inventor

Signature of Inventor

Date: _____

Name of Inventor

Signature of Inventor

Date: _____

Name of Inventor

Signature of Inventor

Date: _____

(add lines for any additional inventors who must sign)

or

(f)

NOTE: The title of the person signing on behalf of a concern or nonprofit organization should be specified.

Name of Person Signing (X) IGNACIO ALTI BARRÓN

Title of Person (X) INDUSTRIAL PROPERTY RESPONSIBLE
(if signing on behalf of a concern or non-profit organization)

Address of Person Signing GAMESA EOLICA, S. A., Poligono Industrial los Agustinos

Calle A S/N, ES-31013 Pamplona (Navarra) Spain

SIGNATURE (X) 

DATE (X) 27-09-06